

1. (currently amended) A system ~~for implementing at least one supporting a plurality of different types of employee stock plan plans~~ comprising:

a computer-implemented finance system ~~for processing that processes a transaction pursuant to a first one of the employee stock plan plans~~, the finance system including:

a volatile data storage ~~for storing that stores~~ participant information pursuant to a data transfer from a nonvolatile database of a third party administration system, ~~the third party administration system being not a part of said system for supporting the plurality of different types of employee stock plans~~; and

an interface system ~~for interacting with configured to provide~~ a participant ~~with information regarding requested transactions and enabling to enable~~ the participant to select a response pertaining to the ~~first~~ employee stock plan;

a trading system ~~for conducting, connected to said interface system, that conducts individual participant transactions on a public exchange, said trading system being responsive to a response by the participant to conduct a transaction to conduct the transaction;~~

a communication system that connects the participant to the finance system; and
~~means for updating an updating system that updates the participant information in the volatile data storage according to the selections and transactions made by the participant.~~

2. (currently amended) A system for implementing at least one supporting a plurality of different types of employee stock plan plans comprising:

a computer-implemented finance system for processing a transaction pursuant to a first one of the employee stock plan plans, the finance system including:

a volatile data storage for storing that stores participant information pursuant to a data transfer from a nonvolatile database of a third party administration system, the third party administration system being not a part of said system for supporting the plurality of different types of employee stock plans; and

an interface system for interacting with configured to provide a participant with information regarding requested transactions and enabling to enable the participant to select a response pertaining to the first employee stock plan;

a trading system for conducting, connected to said interface system, that conducts individual participant transactions on a public exchange, said trading system being responsive to a response by the participant to conduct a transaction to conduct the transaction;

a communication system that connects the participant to the finance system; and means for updating an updating system that updates the participant information in the volatile data storage according to the selections and transactions made by the participant; and

a reporting system that enables a corporate employee to run a report based on the participant information.

3. (original) The system of claim 1 or 2, wherein the employee stock plan comprises at least one of an employee stock option plan (ESOP), a restricted stock award (RSA) plan, and an employee stock purchase plan (ESPP) that is administered by a financial services organization.

4. (original) The system of claim 2, further comprising means for creating user profiles associated with a corporate employer wherein the users run the reports in accordance with their respective user profiles.

5. (original) The system of claim 2 wherein the reporting system enables a corporate employer to run the reports in accordance with a respective profile.

6. (original) The system of claim 2, wherein the interface system enables a corporate employer to select a report template, and corresponding parameters for the selected template, for use in running their reports.

7. (original) The system of claim 2, wherein the reports relate to at least one of grants outstanding, grants exercised, or options dilution.

8. (original) The system of claim 2, further comprising means to enable the corporate employer to set parameters including at least one of filtering criteria for filtering the reports, and sorting criteria for sorting the reports.

9. (original) The system of claim 2, wherein the reporting system enables a corporate employer to run the reports in accordance with respective client profiles.

10. (original) The system of claim 2, further comprising means for communicating the updated participant information from the volatile data storage to the nonvolatile database.

11. (original) The system of claim 1 or 2, wherein the interface system enables the participant to make a selection regarding a distribution election for the employee stock plan.

12. (original) The system of claim 1 or 2, wherein the interface system enables the participant to make a selection regarding a contribution election for the employee stock plan.

13. (original) The system of claim 1 or 2, wherein the interface system enables the participant to make a selection regarding a tax election for the employee stock plan.

14. (original) The system of claim 1 or 2, wherein the interface system enables the participant to access an online form relating to the employee stock plans.

15. (original) The system of claim 1 or 2, wherein the interface system notifies the participant, regarding the respective employee stock plan, of at least one of: stock

option grants acceptance pending, stock option grants expiring, restricted stock tax election not chosen, cash payment due, enrollment election and distribution election.

16. (original) The system of claim 1 or 2, wherein the interface system notifies the participant of at least one of a restricted stock award and a stock option grant/award, and enables the participant to accept, reject or defer acceptance of the award.

17. (original) The system of claim 1 or 2, wherein the interface system interacts with at least one user to perform block trades for shares acquired by the participant pursuant to the employee stock plan; and

the participant information in the volatile data storage is updated according to the block trades performed.

18. (original) The system of claim 1 or 2, wherein the interface system enables a user to sell a block of shares in multiple trades on behalf of the participant for shares acquired by the participant pursuant to the employee stock plan by entering a share quantity and price for each trade; and the participant information in the volatile data storage is updated according to the block trades performed.

19. (original) The system of claim 1 or 2, wherein the interface system interacts with at least one user to enable the user to view trade entries for the employee stock plan, and in response thereto, enter an approved or disapproved status for at least one of an associated check and an associated journal, the interface system further comprising

means for linking the check and the journal so that an entry made by the user for the journal is automatically carried over to an entry for the check.

20. (original) The system of claim 1 or 2, wherein the interface system interacts with at least one user to enable the user to view trade entries for the employee stock plan, and in response thereto, enter an approved or disapproved status for at least one of an associated check and an associated journal, the interface system further comprising means for linking the check and the journal so that an entry made by the user for the journal is automatically carried over to a related entry for the check wherein the user is enabled to correct, via the interface system, the trade entries.

21. (currently amended) A method for implementing at least one supporting a plurality of different types of employee stock plan plans in an overall system in which the method operates, comprising:

processing a transaction pursuant to a first one of the employee stock plan plans via a computer-implemented finance system;

storing participant information in volatile data storage pursuant to a data transfer from a nonvolatile database of a third party administration system, the third party administration system being not a part of the overall system;

interacting with making available to a participant information regarding a requested transaction, and enabling the participant to select a response pertaining to the first employee stock plan;

conducting the participant transaction on a public exchange via a trading system
in response to the selected response;

updating the participant information in the volatile data storage according to the
~~selections and~~ transactions made by the participant; and

enabling a corporate employer to run a report based on the participant information
pursuant to a reporting system.

22-34. (withdrawn)

35. (original) The system of claim 1 or 2, wherein the interface system enables
the participant to make a distribution election selection related to the employee stock
plan.

36. (original) The system of claim 1 or 2, wherein the interface system enables
the participant to make a distribution election selection related to the employee stock
plan, wherein the distribution elections include at least one of: maintaining funds in a
limited brokerage account of the financial services organization, transferring funds to an
external account, receiving funds via a check, selling shares via block trading, and
obtaining shares via physical certificate.

37. (original) The system of claim 1 or 2, wherein the interface system enables
the participant to make a contribution election selection related to the employee stock
plan.

38. (original) The system of claim 1 or 2, wherein the interface system enables the participant to make a tax election selection related to the employee stock plan.

39. (original) The system of claim 1 or 2, wherein the interface system enables the participant to access an online form associated with the employee stock plan.

40. (original) The system of claim 1 or 2, wherein the interface system enables the participant to access an online form associated with the employee stock plan, the online form including at least one of: a wire transfer instruction form, a stock option account activation form, and an electronic share transfer form.

41. (original) The system of claim 1 or 2, wherein the interface system enables the participant to select at least one of a current enrollment period and a future enrollment period in making a selection.

42. (original) The system of claim 1 or 2, wherein the interface system enables the participant to make a selection regarding at least one of: designating a payroll deduction, stopping future contributions, and withdrawing previous contributions from their employee stock plan.

43. (original) The system of claim 1 or 2, wherein the interface system notifies the participant of at least one of: a stock option grant pending acceptance, an expiring

stock option grant, a restricted stock tax election not chosen, cash payment due, and an enrollment election and distribution election.

44. (original) The system of claim 1 or 2, wherein the interface system notifies the participant of at least one of a restricted stock award and a stock option grant/award, and enables the participant to accept, reject or defer acceptance of the award.

45-62. (withdrawn)